# THE 2004 SURVEY OF STATE ADULT PROTECTIVE SERVICES: ABUSE OF VULNERABLE ADULTS 18 YEARS OF AGE AND OLDER

# A Report of the National Center on Elder Abuse

# Prepared by

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# The National Center on Elder Abuse

The Source for Information and Assistance on Elder Abuse

The National Center on Elder Abuse (NCEA) serves as a national resource for elder rights advocates, adult protective services, law enforcement and legal professionals, medical and mental health providers, public policy leaders, educators, researchers, and concerned citizens. It is the mission of NCEA to promote understanding, knowledge sharing, and action on elder abuse, neglect, and exploitation.

The Center consists of a consortium of five organizations united by a shared commitment to elder abuse prevention. Administered by the National Association of State Units on Aging, NCEA is supported by grant no. 90-AM-2792 from the U.S. Administration on Aging, Department of Health and Human Services.

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Definitions used for this study were compiled by the NAPSA Research Committee:

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### **EXECUTIVE SUMMARY**

# The 2004 Survey of Adult Protective Services: Abuse of Adults 18-59 Years of Age

This report contains the results of a national survey on vulnerable adult abuse conducted by the National Center on Elder Abuse (NCEA). Information presented here represents Fiscal Year (FY) 2003 data from Adult Protective Services (APS) in all fifty states, the District of Columbia, and Guam. The report summarizes data concerning reports of abuse for individuals 18 years of age and older. The National Committee for the Prevention of Elder Abuse (NCPEA) and the National Adult Protective Services Association (NAPSA), partners of the NCEA, carried out the project. The University of Kentucky conducted the research for NCPEA.

The purpose of *The 2004 Survey Of State Adult Protective Services: Abuse Of Adults 18 Years Of Age And Older*, was to gather the most recent and accurate state-level APS data on the abuse of vulnerable adults. Data were gathered concurrently with a study of the abuse of adults 60+, entitled *The 2004 Survey of Adult Protective Services: Abuse of Adults 60 Years of Age and Older*, which is available on the NCEA website at www.elderabusecenter.org/pdf/research/apsreport030703.pdf. Click on "Statistics, Research and Resources" and go to "National Statistics, then "NCEA Releases New Study on Abuse of Adults Age 60+."

The project was a follow-up to the 2000 report, *A Response to the Abuse of Vulnerable Adults: The 2000 Survey of State Adult Protective Services* and provides data, where comparable, to identify trends. The first part of this report compares the 2004 data concerning abuse of adults of all ages with the 2000 data. **To obtain a copy of the 2000 report, visit the NCEA website at www.elderabusecenter.org/pdf/research/apsreport030703.pdf. Click on "Statistics, Research and Resources" and go to "National Statistics, 2000 State APS Services Survey Results."** 

Confounding the collection of these data, many states differ in their statutory and regulatory definitions of what constitutes abuse. Thus, general definitions were developed for uniformity of data collection. Specifically, a committee of key NAPSA members, who provided a set of general definitions for the purpose of this study, defined *abuse* as the infliction of physical or psychological harm or the knowing deprivation of goods or services necessary to meet essential needs or to avoid physical or psychological harm.

**Neglect** was defined as the refusal or failure to fulfill any part of a person's obligations or duties to an elder. Neglect may also include failure of a person who has fiduciary responsibilities to provide care for an elder (e.g., pay for necessary home care services) or the failure on the part of an in-home service provider to provide necessary care. Neglect typically means the refusal or failure to provide an elderly person/vulnerable adult with such life necessities as food, water, clothing, shelter, personal hygiene, medicine, comfort, personal safety, and other essentials included in an implied or agreed-upon responsibility to an elder.

**Financial or Material Abuse/Exploitation** was defined as the illegal or improper use of an older person's or vulnerable adult's funds, property, or assets. Examples include, but are not limited to, cashing an older/vulnerable person's checks without authorization or permission; forging a **person's signature**; misusing or stealing a **person's** money or possessions; coercing or

deceiving a **person** into signing any document (e.g., contracts or will); and the improper use of conservatorship, guardianship, or power of attorney.

**Self-Neglect** was regarded as an adult's inability, due to physical or mental impairment or diminished capacity, to perform essential self-care tasks including (a) obtaining essential food, clothing, shelter, and medical care; (b) obtaining goods and services necessary to maintain physical health, mental health, or general safety; and/or (c) managing one's own financial affairs. Choice of lifestyle or living arrangement is not, in itself, evidence of self-neglect.

Finally, a *vulnerable adult* was defined as a person who is either being mistreated or in danger of mistreatment and who, due to age and/or disability, is unable to protect himself or herself<sup>1</sup>. Though most APS programs serve vulnerable adults regardless of age (based either on their age or incapacity), some serve only older persons. A few programs serve only adults ages 18-59 who have disabilities that keep them from protecting themselves. Interventions provided by APS include, but are not limited to, the following: receiving reports<sup>2</sup> of adult abuse, neglect, or exploitation; investigating these reports; assessing risk; developing and implementing case plans; monitoring services; and evaluating the impact of intervention. Further, APS may provide or arrange for a wide selection of medical, social, economic, legal, housing, law enforcement, or other protective emergency or supportive services (NAAPSA, May 2001).

In addition to problems with abuse definitions, states collect widely different types of information on the abuse of vulnerable adults, and so, while all states responded to the survey, no one state could provide all answers to all survey questions, with many states able to provide very few answers. To improve on earlier versions of a similar survey and to capture information in as inclusive a manner as possible, states could provide information on adults 18-59 as well as in a general category of vulnerable adults 18+ (states do not collect data by age group). Consequently, throughout the report, tables are typically broken out with these two distinctions. In some places, and for some tables for comparative purposes, data from the earlier published report on abuse of adults 60+ is also provided.

#### NATIONAL TRENDS - ABUSE OF VULNERABLE ADULTS OF ALL AGES

- APS received a total of 565,747 reports of elder and vulnerable adult abuse for persons of all ages (50 states, plus Guam and the District of Columbia). This represents a 19.7% increase from the 2000 Survey (472,813 reports).
- APS investigated 461,135 total reports of elder and vulnerable adult abuse for persons of all ages (49 states). This represents a 16.3% increase from the 2000 Survey (396,398 investigations).
- APS substantiated 191,908 reports of elder and vulnerable adult abuse for victims of all ages (42 states). This represents a 15.6% increase from the 2000 Survey (166,019 substantiated reports).
- The average APS budget per state was \$8,550,369 (42 states), compared to an average of \$7,084,358 reported in the 2000 Survey (30 states).

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<sup>&</sup>lt;sup>1</sup> Further definitions created by the NAPSA committee are contained within the survey portion at the end of this report.

<sup>&</sup>lt;sup>2</sup> The term "report" is used throughout the document to refer to reports, allegations, and/or complaints.

#### STATEWIDE INFORMATION--ALL AGE GROUPS

#### **Adults 18-59**

- APS received 130,592 reports (26 states).
- APS investigated 107,480 reports (23 states).
- APS substantiated 40,848 reports (19 states).

#### Adults 60+

- APS received 253,426 reports (32 states).
- APS investigated 192,243 reports (29 states).
- APS substantiated 88,455 reports (24 states).

#### Adults 18+ (States do not collect data by age group)

- APS received 193,625 reports (26 states).
- APS investigated 161,412 reports (22 states).
- APS substantiated 62,605 reports (19 states).

#### SELF-NEGLECT

APS received a total of 174,940 reports of self-neglect for adults of all ages (34 states).

### **Adults 18-59**

- APS received 41,367 reports of self-neglect (14 states).
- APS investigated 40,945 reports of self-neglect (13 states).
- APS substantiated 24,880 reports of self-neglect (15 states).

### Adults 60+

- APS received 84,767 reports of self-neglect (21 states).
- APS investigated 82,007 reports of self-neglect (20 states).
- APS substantiated 46,794 reports of self-neglect (20 states).

#### Adults 18+ (States do not collect data by age group)

- APS received 48,806 reports of self-neglect (15 states).
- APS investigated 47,266 reports of self-neglect (16 states).
- APS substantiated 8,169 reports of self-neglect (9 states).

# SOURCES OF REPORTS, ADULTS 18-59 AND ADULTS 18+ (STATES DO NOT COLLECT DATA BY AGE GROUP)

- The most common sources of reports of abuse of adults 18-59 were self (23.6%), family members (11.1%), and social services agency staff (9.7%) (6 states).
- The most common sources of reports of abuse of adults 18+ (states do not separate age categories) were family members (16.3%), social services agency staff (16.1%), and friends and neighbors (8.3%) (19 states).

# CATEGORIES OF ABUSE, ADULTS 18-59 AND ADULTS 18+ (STATES DO NOT COLLECT DATA BY AGE GROUP)

- Self-neglect was the most common category of investigated reports for adults 18-59 (21.6%), followed by physical abuse (19.5%), and caregiver neglect/abandonment (18.3%) (16 states).
- For states (n=19) unable to separate age categories, the most common category of investigated abuse was emotional/psychological/verbal abuse (31.0%), followed by self-neglect (29.3%), and financial exploitation (15.3%).
- Self-neglect was also the most common category of substantiated reports for adults 18-59 (45.4%), followed by caregiver neglect/abandonment (16.8%). The third largest category for adults 18-59 was physical abuse (13.2%). Percentages of self-neglect appeared to rise from investigation to substantiation. In fact, for adults 18-59, percentages of investigated reports as compared with substantiated reports more than doubled (16 states).
- For states unable to separate age categories, the most common category of substantiated abuse was self-neglect (31.5%), closely followed by emotional/psychological/verbal abuse (31.2%), and caregiver neglect/abandonment (14.4%) (19 states).

# SUBSTANTIATED REPORTS, ADULTS 18-59 AND ADULTS 18+ (STATES DO NOT COLLECT DATA BY AGE GROUP)

#### **VICTIMS**

- Age. For victims 18-59 (18 states) years of age, individuals aged 40-49 made up the largest category of abuse victims (44.2%), followed by persons aged 50-59 (29.8%), and aged 30-39 (13.9%). For adults 18+, individuals 80 years and older were the largest category of abuse victims (30.9%), followed by aged 70-79 years (26.4%), aged 60-69 years (15.1%), aged 40-49 years (12.2%), aged 50-59 years (8.2%), aged 30-39 years (3.8%), and finally those aged 18-29 years (3.3%) (20 states).
- <u>Gender.</u> For victims 18-59 years of age, 56.9% were female; for victims aged 18+, 61.7% of victims were female.
- Race. The majority of victims aged 18-59 were Caucasian (65.4.2%), followed by African-American (32.2%) (9 states). For states unable to separate age categories of victims, 78.5% were Caucasian, and 17.1% were African-American (11 states).
- <u>Location of Abuse.</u> The vast majority of substantiated reports of abuse occurred in domestic settings for both age breakouts. For the 18-59 group, 85.0% were in domestic settings, and 4.6% were in long-term care settings (9 states). For states unable to separate age categories, 75.1% were in domestic settings, and 13.6% were in long-term care settings (10 states).

#### **ALLEGED PERPETRATORS**

- Age. For states providing data for individuals 18-59, the largest cohort of perpetrator age was that of persons between ages 40-49 years of age (26.0%) followed by those between ages 19-29 (19.5%), between ages 30-39 (18.9%), and between ages 50-59 (17.0%) (5 states). For states unable to separate age categories, perpetrators were typically between the ages of 50-59 (20.5%), followed by those between the ages of 70-79 (12.8%). These data should be regarded extremely cautiously due to the very low numbers of states able to provide this information (2 states).
- <u>Gender</u>. For states able to break out data for vulnerable adults 18-59 years of age, perpetrators were virtually equal in numbers for both genders —50.8% females and 49.2%

- males (7 states). For the 11 states unable to separate age categories, 55.7% of perpetrators were female and 44.3% were male.
- Relationship. For adults aged 18-59 (8 states), the most common relationship within which abuse occurred was long-term care facility staff (20.1%), followed by parent (18.9%). For adults aged 18+ (9 states), the most common relationship (18.0%) was that of other family member (e.g., sibling, grandchild, unspecified) followed by adult child (16.6%) and long-term care facility staff (16.2%).
- <u>Abuse Registry</u>. Twenty-one states (40.4%) maintain an abuse registry or database of alleged perpetrators, while 31 (59.6%) do not. States maintaining an abuse registry are Arkansas, Delaware, Hawaii, Indiana, Iowa, Kansas, Louisiana, Massachusetts, Minnesota, Mississippi, Missouri, Nebraska, Nevada, New Mexico, Oklahoma, Oregon, Texas, Utah, Vermont, Washington, and Wyoming. Five states (Alaska, Idaho, New Jersey, West Virginia, and Wisconsin) do not maintain a specific registry of alleged perpetrators, but do maintain some type of registry or database of individuals involved in abuse cases.

## INTERVENTIONS AND OUTCOMES, SUBSTANTIATED CASES

• Over half (50.2%) of cases were closed because the client was no longer in need of services or the risk of harm was reduced (13 states).

#### RECOMMENDATIONS

- Accurate and uniform data should be continuously collected at both state and national levels
  so that abuse trends may be reported and tracked. A concerted effort is necessary to create
  uniform definitions of, and measures for, reporting abuse. As a baseline, all states need to be
  able to provide the information that the survey requested.
- Adults aged 18-59 appear to report their own abuse. Further exploration of this finding is warranted.
- States should collect detailed age- and gender- specific information as well as race and ethnicity of victims and alleged perpetrators. Little is known about the racial composition and ethnic background data of vulnerable adult abuse victims.
- It is crucial that states collect outcome data on the clients served. This information will be extremely helpful in determining efficacy of APS interventions.
- Increased numbers of reports, investigations, and substantiations suggests the need for increased local, state, and national intervention and education efforts targeted toward the abuse of vulnerable adults
- Little information is available about perpetrators and what happens to them as a result of APS interventions. States should collect as much information as possible not only about the victims, but also about the perpetrators. Data collected will inform multiple actors in the vulnerable adult abuse arena regarding prevention, intervention, and advocacy.
- A national study of APS data, specifically related to the abuse of adults, should be conducted
  no less than every four years. The increment of every four years is recommended because
  studies conducted in the past twelve years have been conducted within this time frame. This
  regularity is desirable for methodological comparability and to help states establish a uniform
  set of data to collect.

#### **Adult Protective Services Cases**

(Names are changed in order to protect confidentiality).

Jerry is a 60 year-old man with mental retardation who lives with his 66 year-old unmarried brother, Charles. Jerry worked as a part-time custodian in a local middle school for more than thirty years before he retired. Charles retired at 65 after driving a bus for the city. After their retirement, the brothers' relationship soured. Neighbors have reported hearing loud fights from the house, and that they do not see Jerry leave the house. When neighbors do see Jerry, his usual happy demeanor has been replaced by fear and trepidation. Estelle, Jerry and Charles' postal worker for the last fifteen years, called APS when she noticed heavy bruising on Jerry's neck and arms during a delivery.

Eddie is 76 years old and a former high school history teacher. A year ago, his wife of 53 years died suddenly due to a massive stroke. Since that time, he has begun to show signs of memory loss. Eddie, who has always liked to "hold onto things," has begun to hoard newspapers. He claims they are a defense against future September 11<sup>th</sup> terrorists. His three underfed dogs bark incessantly, and the siding is falling off his home. He rarely bathes and leaves the house around 2:00 a.m. to buy groceries once a month. Recently, there was a small fire in his kitchen because he forgot to turn off the stove. His two children, who live out of state, are very worried, but Eddie insists that there is nothing wrong with him. A concerned check-out clerk at the grocery store that Eddie frequents made a report to APS.

Jennifer is a 27-year-old woman with Down's syndrome and the youngest of eight children. She lived with her parents for the first 25 years of her life until her mother died of heart failure. Her father's significant chronic health problems prevented him from providing care for her after that time. She went to live with her oldest brother, Jake, and his wife and two children. Since moving in, Jennifer has lost 25 pounds, has poor hygiene, and has been struggling at her part-time job. Several weeks ago, Jake's wife began belittling Jennifer, calling her "worthless" because she is unable to help out around the house. Last week, Jake's wife locked Jennifer in the basement for two hours and threatened to hurt her if she told anyone. Recently, Jennifer shared this with an older sister who promptly called APS.



This report is dedicated to people who may be similar to Jerry, Eddie, and Jennifer and the people who help them.

# The 2004 Survey of State Adult Protective Services

#### Introduction

This report contains the results of a national survey on vulnerable adult abuse conducted by the National Center on Elder Abuse (NCEA). Information presented here represents Fiscal Year (FY) 2003 data from Adult Protective Services (APS) in all fifty states, the District of Columbia, and Guam. The National Committee for the Prevention of Elder Abuse (NCPEA) and the National Adult Protective Services Association (NAPSA), partners of the Center, carried out the project. The University of Kentucky conducted the research for NCPEA, who partnered with NAPSA on the project.

Prior to reading this report, a caveat is necessary. APS, as explained below had its genesis in Title XX of the Social Security Act in 1975, which granted states flexibility in deciding how to utilize federal social services block grant funds. Because there is no specific federal statute or funding stream for adult protective services, each state developed its own laws and administrative structure to govern the program. While APS programs throughout the country do have similarities, each is governed by its own state laws, policies, and regulations, including the age range of the persons served, the definitions of abuse, neglect, and exploitation, the state agencies through which the program operates, and the types and categories of data collected.

These differences significantly affect the ability of individual states to respond to standardized national survey questions. For example, according to the survey, only ten states have specific statutory definitions for self-neglect (i.e., Alaska, Colorado, Louisiana, Maryland, New Hampshire, New York, Utah, Washington, Wisconsin and Wyoming.) In the remaining twenty-seven states that provide services for self-neglecting elders and/or vulnerable adults, self-neglect is included as part of another definition in the statute. For example, in Alabama, the law defines "neglect" to include both neglect by a caregiver, and the failure of a person to provide these basic needs for himself or herself as a result of the person's mental or physical inability. In data collection, however, both types of cases may be reported simply as "neglect." Note: One very helpful source concerning definitions of terms is to consult the APS eligibility charts on the NCEA website: at www.elderabusecenter.org

To address the problem of inconsistent definitions, the definitions used for the 2004 Survey were crafted by APS experts who drew from years of experience, knowledge of other states, and the most recent and available research. These definitions, included with the survey, were provided in order to standardize the data (or information) provided and, consequently, to maximize accuracy of the data.

As noted above, states also vary in terms of the clients served and the services provided to them, and in the amount, types, and categories of data collected. Additionally, in this report, states vary in serving any one or more, or a combination, of the following age ranges:

- persons with disabilities 18+.
- persons with disabilities 18-59 years of age,
- persons 60+ years of age, who may or may not have a disability, and
- persons 65+ years of age, who may or may not have a disability.

A few states have bifurcated APS programs, with one agency serving, for example, persons 60 and older, and another program serving clients with disabilities aged 18 to 59. In these states, data must be collected from two distinct programs in different state agencies with different data systems, thus making even intra-state consistency difficult.

These age distinctions affect the APS data collected by the states, and are reflected in this report. In an improvement over earlier iterations of this survey, in this version, states were able to provide information on adults aged 18-59, aged 18+ (some states could not break out age categories), and adults aged 60+. These distinctions are reflected in the earlier report of abuse of adults aged 60+, *The 2004 Survey of Adult Protective Services: Abuse of Adults 60 Years of Age and Older*, and in this companion report of adults 18-59 years of age and adults aged 18+.

#### **Adult Protective Services**

According to a generic definition of APS developed by the National Adult Protective Services Association, "Adult Protective Services (APS) are those services provided to older people and people with disabilities who are in danger of being mistreated or neglected, are unable to protect themselves, and have no one to assist them" (NAAPSA, May 2001, p. 1). In most states, APS programs are the first responders to reports of abuse, neglect, and exploitation of vulnerable adults.

Although states differ in their statutory and regulatory definitions, general definitions were established by a committee of key NAAPSA members in order to collect data in a manner as uniform as possible. These definitions not only improved the quality of the data, but also are helpful in understanding this report and are contained in Appendix A. As an example of a generic definition, the NAPSA committee members defined *abuse* as the infliction of physical or psychological harm or the knowing deprivation of goods or services necessary to meet essential needs or to avoid physical or psychological harm. More specifically, the NAPSA committee defined *physical abuse* as "The use of physical force that may result in bodily injury, physical pain, or impairment. Physical abuse may include but is not limited to such acts of violence as striking (with or without an object), hitting, beating, pushing, shoving, shaking, slapping, kicking, pinching, and burning. In addition, inappropriate use of drugs and physical restraints, force-feeding, and physical punishment of any kind also are examples of physical abuse."

**Neglect** is defined as the refusal or failure to fulfill any part of a person's obligations or duties to an elder. Neglect may also include failure of a person who has fiduciary responsibilities to provide care for an elder (e.g., pay for necessary home-care services) or the failure on the part of an in-home service provider to provide necessary

care. Neglect typically means the refusal or failure to provide an elderly person/vulnerable adult with such life necessities as food, water, clothing, shelter, personal hygiene, medicine, comfort, personal safety, and other essentials included in an implied or agreed-upon responsibility to an elder.

Financial or Material Abuse/Exploitation is defined as the illegal or improper use of an older person's or vulnerable adult's funds, property, or assets. Examples include, but are not limited to, cashing an older/vulnerable person's checks without authorization or permission; forging a person's signature; misusing or stealing a person's money or possessions; coercing or deceiving a person into signing any document (e.g., contracts or will); and the improper use of conservatorship, guardianship, or power of attorney.

**Self-Neglect** is regarded as an adult's inability, due to physical or mental impairment or diminished capacity, to perform essential self-care tasks including (a) obtaining essential food, clothing, shelter, and medical care; (b) obtaining goods and services necessary to maintain physical health, mental health, or general safety; and/or (c) managing one's own financial affairs. Choice of lifestyle or living arrangement is not, in itself, evidence of self-neglect.

Finally, a *vulnerable adult* is defined as a person who is either being mistreated or in danger of mistreatment and who, due to age and/or disability, is unable to protect himself or herself<sup>3</sup>. Though most APS programs serve vulnerable adults (based either on their age or incapacity) regardless of age, some serve only older persons. A few programs serve only adults aged 18-59 who have disabilities that keep them from protecting themselves. Interventions provided by APS include, but are not limited to, the following: receiving reports<sup>4</sup> of adult abuse, neglect, or exploitation; investigating these reports; assessing risk; developing and implementing case plans; monitoring services; and evaluating the impact of intervention. Further, APS may provide or arrange for a wide selection of medical, social, economic, legal, housing, law enforcement, or other protective emergency or supportive services (NAAPSA, May 2001).

#### **Purpose**

The purpose of the 2004 Survey of Adult Protective Services was to gather the most recent and accurate state-level APS data on the abuse of vulnerable adults. The 2004 Survey built upon earlier efforts to capture a national picture of elder abuse, as drawn from APS data. Data collection efforts, refined with iterations, have been conducted since 1986 (Tatara, 1996). Because of differences in definitions and varying capabilities among states, comparisons with earlier data have been problematic at best. Replicating questions where possible and reflecting "lessons learned" in previous studies,

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<sup>&</sup>lt;sup>3</sup> Further definitions created by the NAPSA committee are contained within the survey portion at the end of this report.

<sup>&</sup>lt;sup>4</sup> The term "report" is used throughout the document to refer to reports, allegations, and/or complaints.

the 2004 Survey represents a follow-up to the 2000 Survey of States and provides data, where comparable, to identify trends.<sup>5</sup>

The intent of this national report is to provide valuable information to assist APS personnel, advocates for elders, researchers, and policy makers in understanding issues between service and intervention needs, planning, program management, resource allocation, and media inquiries related to the abuse of adults aged 18-59 years of age. It is hoped that this report will not be a static document, but rather a highly useful tool that will inform not only APS staff at all levels, but also elder advocates and policy makers to assist with prevention, intervention, and advocacy efforts. For researchers, for administrators, and for others who collect data, this information is the most recent, comprehensive, and accurate information gathered on this topic and should serve as a template for baseline data collection in future years. These data should also make a compelling argument, either for the impetus for data collection or for its continuance and refinement. These data will also inform policy decisions on funding levels and other resources related to elder abuse.

#### Methods

## Survey Population

The population for this survey included state-level APS administrators in all 50 states, as well as the District of Columbia and Guam (52 respondents). Louisiana, Massachusetts, and Oregon have two separate divisions or agencies, one serving adults 60+ and another serving vulnerable adults between ages 18-59. For the purposes of this study, there were 52 actual respondents, with the different agencies in Louisiana, Massachusetts, and Oregon providing information for the different age breakouts in this report.

#### Data Collection Instrument

The data collection instrument consisted of a detailed 21-item survey and used *The 2000 Survey of State Adult Protective Services* as a starting point for its design. Building on the 2000 Survey where possible, construction of the 2004 Survey began in March 2004 with input from Joanne Otto, Executive Director of NAPSA, and the research team at the University of Kentucky (UK), which included a consultant who holds a Ph.D. in biostatistics. The survey went through refinement and numerous revisions after soliciting and responding to comments from NCEA partners, NAPSA staff, and staff from the Administration on Aging. The survey was also piloted by APS program managers Paulette St. James (Colorado) and Sue Crone (Kentucky) before being sent to state level APS contacts for completion. A copy of the 2004 Survey is found in Appendix A.

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<sup>&</sup>lt;sup>5</sup> To obtain a copy of the 2000 report, visit the NCEA website at www.elderabusecenter.org. Click on "Statistics, Research and Resources" and go to "National Statistics, 2000 State APS Services Survey Results."

NAPSA provided UK a list of APS contacts for all 50 states, the District of Columbia, and Guam. The survey was sent to APS contacts in early September 2004, and states could return it via e-mail, fax, or traditional mail. The 2004 Survey relied on states' independent data collection. States provided information based on their own records for the 2003 Fiscal Year. The survey included the following sections: Statewide Reporting Numbers, Complaints Received, Categories of Abuse, Victim Information, Alleged Perpetrator Information, Service Delivery and Outcomes, and Funding and Administration. By January 2005, after multiple follow-up efforts, all states, the District of Columbia, and Guam provided data for the report (100% response rate), although not all states were able to respond to every question.

#### Procedure

Data from all the states, the District of Columbia, and Guam were entered into a spreadsheet and checked for accuracy after each entry. To double-check accuracy, all data were re-entered by a second research assistant, and the statistical consultant compared the two data sets for data entry errors. Slight discrepancies, usually relating to wording choices or spelling, were found and corrected. The NAPSA director also reviewed the data to check for inconsistent answers. In addition, members of the UK research team made numerous telephone calls and sent many e-mail messages to clarify answers provided. Numbers in the tables and text of the report were also double-checked by the UK research team. Prior to NCEA partner review, the report was reviewed by members of NAPSA, NCPEA, and three independent outside reviewers. The UK research team responded to reviewers' suggestions and made changes where possible and as warranted.

#### National Trends, Abuse of Adults of All Ages

# Investigated and Substantiated Reports

While the focus of this report is on vulnerable adults aged 18-59 and adults aged 18+ (where states do not have age breakouts), this section of the report reflects information for all age groups (18-59, 18+, and 60+) in order to provide an overview of these data for all ages. A discussion of the abuse of vulnerable adults aged 18-59 and those aged 18+ follows this section that show "big picture" data. For comparative purposes, the 60+ numbers are provided in some categories in order to elucidate information on adults aged 18-59 and where states could not separate data by age category.

It is important to note that states have different methods of receiving reports. For instance, some states operate call centers that screen reports and redirect them to an agency other than APS for investigation, if appropriate. Thus, in these states, not all of the abuse reports that are received are forwarded to APS for investigation. Also, some reports are not investigated because the information provided in the report does not demonstrate client eligibility or other circumstances that APS has the legal authority to investigate.

All states, and the District of Columbia and Guam, provided abuse report data. The 565,747 reports compare to 472,813 reports documented in the 2000 APS Survey (Table 1). This represents a 19.7% increase in total reports.

There were a total of 461,135 investigations for adults of all ages in the 2004 study, representing a 16.3% increase from the 2000 Survey when states reported 396,398 investigations. Forty-nine states provided the total number of investigations, the same number of states as 2000.

For the 2004 study, 191,908 reports of abuse were substantiated for victims of all ages. This compares to 166,019 substantiated reports in 2000. Of the 42 states that could provide both the number of reports investigated and substantiated, the substantiation rate was 46.2%. This percentage is quite similar to the 48.5% substantiation rate from the 2000 Survey. The median substantiation rate of individual states was 35.1%. Table 1 summarizes differences in reports received, investigated, and substantiated in the 2004 and 2000 studies.

Table 1: Comparison of	Table 1: Comparison of Total APS Reports, 2004 and 2000 Surveys (All Ages)												
	2004 S	2004 Survey 2000 Survey											
	Reports	States	Reports	States									
Received	565,747	52	472,813	52									
Investigated	461,135	49	396,398	49									
Substantiated	191,908	42	166,019	42									

**Note:** 1) Reports of self-neglect are included in the totals. 2) Although the number of states reporting is the same, not every state was able to provide the same categories of information in response to the 2004 survey as in response to the 2000 survey and so the numbers are not directly comparable.

For the 2004 Survey, APS received a total of 565,747 reports of elder and vulnerable adult abuse. Using 2000 Census Data, for every 1,000 persons over the age of 18 in the United States, there was an average of 2.70 reports of the abuse of elder and vulnerable adults (Table 2). For individual states, abuse reporting rates ranged from .75/1,000 in South Dakota to 8.35/1,000 in Oklahoma, with a median rate of 2.15/1,000. The 2000 Survey, by contrast, revealed an average of 2.26 reports of abuse of elder and vulnerable adults for every 1,000 persons over the age of 18. For individual states, abuse reporting rates ranged from .30/1,000 in Wyoming to 9.36/1,000 in Kentucky, with a median rate of 1.86/1,000.

reports in the 42 states that provided these data.

<sup>7</sup> The denominator for these calculations (number)

<sup>&</sup>lt;sup>6</sup> The substantiation rate was calculated by using the ratio of substantiated reports and total investigated reports in the 42 states that provided these data

<sup>&</sup>lt;sup>7</sup> The denominator for these calculations (number of reports divided by the 18+ population for each state times 1,000) includes the entire U.S. adult (18+) population as given by the 2000 Census, as population numbers for vulnerable adults 18-59 are not available. Therefore, the at-risk population (vulnerable and elder adults only) is actually smaller than the number used (the entire adult population), and true reporting rates are higher.

<sup>&</sup>lt;sup>8</sup> Kentucky's totals include domestic violence numbers. The state was not able to break them out for this report.

Table	2: State Reporting Rates		
State	Abuse Reporting Rate (per 1,000 population over 18)	State	Abuse Reporting Rate (per 1,000 population over 18)
AK	3.64	MS	0.98
AL	1.46	MT	3.73
AR	1.54	NC	1.07
AZ	2.73	ND	1.09
CA	4.06	NE	1.95
CO	3.05	NH	2.10
CT	5.75	NJ	1.18
DC	1.56	NM	7.73
DE	0.96	NV	2.20
FL	2.97	NY	2.03
GA	1.99	ОН	1.31
GU	1.08	OK	8.35
HI	1.58	OR	0.89
IA	0.84	PA	1.45
ID	3.86	RI	3.00
IL	0.84	SC	1.36
IN	3.91	SD	0.75
KS	3.16	TN	1.71
KY	6.79	TX	4.92
LA	1.67	UT	2.22
MA	3.15	VA	2.24
MD	1.22	VT	4.08
ME	2.98	WA	2.89
MI	1.45	WI	0.96
MN	3.99	WV	5.38
MO	3.54	WY	2.42

## Adult Protective Services Budget

States did not separate budget information based on age categories of the victims. Forty-two states (80.8%) provided figures for their total APS budget (Table 3). The average budget was \$8,550,369 as compared to an average budget of \$7,084,358 reported in the 2000 Survey. Tremendous diversity existed in state budgets, which ranged from \$170,609 (North Dakota) to \$72,000,000 (California). These budget data should be regarded cautiously, as states revealed that they calculate their budgets differently. For example, New Jersey's budget does not take county contributions into account, and Connecticut's budget figures do not include salaries of APS staff.

Table 3:	State Budget Information		
State	Total APS Budget	State	Total APS Budget
AK	\$2,903,000.00	MS	*
AL	\$16,368,060.00	MT	\$1,821,550.00
AR	\$1,111,942.00	NC	\$12,563,391.00
AZ	\$8,700,000.00	ND	\$170,609.00
CA	\$72,000,000.00	NE	*
CO	\$5,100,000.00	NH	*
CT	\$900,000.00	NJ	\$4,100,000.00
DC	\$1,672,663.00	NM	\$13,237,500.00
DE	*	NV	\$688,501.00
FL	\$27,254,928.00	NY	\$65,000,000.00
GA	*	OH	\$2,700,000.00
GU	\$313,458.00	OK	\$8,237,921.00
HI	*	OR	\$1,500,664.00
IA	*	PA	\$6,780,307.00
ID	\$861,476.00	RI	\$482,619.00
IL	\$7,586,689.00	SC	\$9,815,305.00
IN	\$2,200,000.00	SD	\$1,179,181.00
KS	\$366,475.00	TN	\$6,015,500.00
KY	\$6,012,897.00	TX	\$35,446,558.00
LA	\$3,434,086.00	UT	\$3,027,400.00
MA	\$11,796,351.00	VA	\$1,000,000.00
MD	\$4,645,347.00	VT	\$460,000.00
ME	\$3,523,000.00	WA	\$3,440,335.00
MI	*	WI	*
MN	\$286,500.00	WV	\$3,753,012.00
MO	*	WY	\$658,260.00

<sup>\*</sup>State did not provide this information.

The average amount that states spent on APS services per individual over 18 years of age was \$1.99 (i.e., the total budget for the 42 states that reported budget figures was divided by the total population over the age of 18 for those states).

For states that could provide both budget and substantiation information (n = 35) an average ratio of \$1,443 (range \$138 - \$20,897; median = \$1,926) per substantiated case was calculated by dividing the total budget amount by the total number of substantiated cases in those 35 states. This is not to say that the cost of substantiating a single case is \$1,443, for the agency also devotes financial resources to numerous reports and investigations that are not substantiated for every case.

## KEY POINTS ON NATIONAL TRENDS, ABUSE OF ADULTS OF ALL AGES

- APS received a total of 565,747 reports of elder and vulnerable adult abuse for persons of all ages (50 states, plus Guam and the District of Columbia). This represents a 19.7% increase from the 2000 Survey (472,813 reports).
- APS investigated 461,135 total reports of elder and vulnerable adult abuse for persons of all ages (49 states). This represents a 16.3% increase from the 2000 Survey (396,398 investigations).

- APS substantiated 191,908 reports of elder and vulnerable adult abuse for victims of all ages (42 states). This represents a 15.6% increase from the 2000 Survey (166,019 substantiated reports, 42 states).
- The average APS budget per state was \$8,550,369 (42 states), compared to an average of \$7,084,358 reported in the 2000 Survey (30 states).

#### **Statewide Information, All Age Groups**

#### Adults 18-59

Reports. Twenty-six states were able to provide reports for victims between 18 and 59 years old. There were 130,952 total reports, or 0.15 reports of abuse for every 1,000 people between the ages of 18 and 59 for those states (Table 4). The annual number of reports ranged from a low of 23 (Guam) to a high of 33,261 (Texas). Abuse reporting rates differed greatly between states, ranging from 0.12/1,000 in South Dakota to 6.35/1,000 in Kentucky. The median rate of abuse reporting for vulnerable adults was 0.89/1,000.

*Investigations*. Twenty-three states provided their numbers of investigations for individuals between the ages of 18 and 59 years of age. These states reported 107,480 investigations.

Substantiations. Nineteen states provided numbers of the substantiated abuse of individuals between the ages of 18 and 59 years old, for a total of 40,848 reports. The median substantiation rate for states (n = 18) that provided numbers of both investigated and substantiated reports was 25.0%. The rates of substantiation from the 2004 Survey ranged from a low of 4.7% (Arkansas) to a high of 60.6% (Louisiana).

<u>Note:</u> Not all abuse reports that are received are forwarded to APS for investigation. Also, some reports are not investigated because the information provided in the report does not demonstrate client eligibility or other circumstances that APS has the legal authority to investigate.

#### Adults 60+

Reports. Thirty-two states were able to separate reports where the victim was at least 60 years old, for 253,426 total reports, or 8.33 reports of abuse for every 1,000 people over the age of 60 (Table 3). From these data, it can be inferred that there were 381,430 reports of elder abuse to APS in the U.S. <sup>9</sup> Of the 32 states, four (Idaho, Tennessee, Utah, and Wyoming) were able to provide only total number of reports for adults of all ages, but were able to separate investigations into age groups. It was assumed that many, but not all, investigations stemmed from reports, which meant that

<sup>&</sup>lt;sup>9</sup> The group of respondents (32 states) and non-respondents (20 states) were compared based on 60+ population, total number of reports of abuse, gender, race, income [proxy for Socioeconomic Status (SES)], and APS budget using 2004 APS data and 2000 Census data. No statistically significant differences were found between the two groups.

there could have been at least 7,889 additional reports of abuse where the victim was at least 60 years of age, for a grand total of at least 253,426 total reports, a conservative figure.

The number of elder abuse reports ranged from a low of 85 (Guam) to a high of 66,805 (California). Abuse reporting rates ranged from 0.40/1,000 in Oregon to 24.51/1,000 in Connecticut. The median rate of abuse reporting for older adults was 5.66/1,000.

*Investigations*. For the 29 states able to provide information for adults aged 60+, there were a total of 192,243 investigations.

*Substantiations*. Twenty-four states separated abuse of individuals aged 60+ and substantiated 88,455 reports. The average substantiation rate for states that provided investigated and substantiated reports was 46.7%. The rates of substantiation from the 2004 Survey ranged from a low of 7.2% (Arkansas) to a high of 72.4% (Texas).

<u>Note:</u> Not all abuse reports that are received are forwarded to APS for investigation. Also, some reports are not investigated because the information provided in the report does not demonstrate client eligibility or other circumstances that APS has the legal authority to investigate.

Adults 18+ (State does not collect data by age group)

*Reports.* Not all states are able to separate APS reports based on age. Twenty-six states reported receiving 193,625 reports of abuse (Table 4). This represents 2.3 reports of abuse for every 1,000 people over the age of 18 in these states. The number of reports ranged from 40 in West Virginia to 36,661 in Florida. The median number of reports per 1,000 individuals over age 18 was 2.2.

*Investigations*. There were 22 states that provided the number of investigations for adults over 18 years old but did not separate data into the 18-59 or 60+ age categories. These states reported 161,412 investigations of abuse.

Substantiations. Nineteen states provided the number of substantiated cases, which totaled 62,605. The average substantiation rate for states that provided both the number of investigated and substantiated reports was 49.1%. Substantiation rates ranged from a low of 7.9% in Vermont to a high of 69.4% in Colorado. As mentioned previously, different definitions and different requirements for substantiating a report account for the diversity in substantiation percentages.

<u>Note:</u> Not all abuse reports that are received are forwarded to APS for investigation. Also, some reports are not investigated because the information provided in the report does not demonstrate client eligibility or other circumstances that APS has the legal authority to investigate.

Table 4: Summary of Reports Received, Investigated, and Substantiated (2004 Survey)													
	Data Collected Data Not Collected All Data by Age Group by Age Group Collected Adults 18-59 Adults 60+ Adults 18+												
	Adults 18	B+											
Reports	Reports	n	Reports	n	Reports	n	Reports	n					
Received	130,592	26	253,426	32	193,625	26	565,747	52					
Investigated	107,480	23	192,243	29	161,412	22	461,135	49					
Substantiated	40,848	19	88,455	24	62,605	19	191,908	42					

<u>Note:</u> The total number of states reporting is not the sum of the numbers reporting across the age categories. Typically, states that provided reports separated by age could do so for both adults 18-59 and adults 60+. Thus, to add the numbers of states across the age groups will double count states.

# Reports, Investigations, and Substantiations of Self-Neglect

For states that were able to separate self-neglect reports by age group (Table 5), 41,367 reports of self-neglect were received for adults between age 18 and 59 (n = 14), and 84,767 reports of self-neglect were received for adults aged 60+ (n = 21). States unable to separate had 48,806 reports (n = 15). Thirteen states reported 40,945 investigations for adults aged 18 to 59, while twenty states investigated a total of 82,007 reports of self-neglect for adults aged 60+. States (n = 16) that could not separate age categories investigated 47,266 reports. With data from 15 states, there were 24,880 substantiated reports specific to those aged 18-59, and 46,794 substantiated reports for adults aged 18 to 59 (n = 20). For those states unable to separate ages, there were 8,169 substantiated reports (n = 9).

Table 5: Summary of Reports of Self-Neglect Received, Investigated, and Substantiated (2004 Survey)												
		Data Not  Data Collected Collected All Data by Age Group by Age Group Collected										
	Adults 1	8-59	Adults	60+	Adults	18+						
Reports	Reports	n	Reports	n	Reports	n	Reports	n				
Received	41,367	14	84,767	21	48,806	15	174,940	34				
Investigated	40,945	13	82,007	20	47,266	16	170,218	36				
Substantiated	24,880	15	46,794	20	8,169	9	79,843	30				

<u>Note:</u> 1) The total number of states reporting is not the sum of the numbers reporting across the age categories. Typically, states that provided reports separated by age could do so for both adults 18-59 and adults 60+. Thus, to add the numbers of states across the age groups will double count states. 2) Some states that provided information on self-neglect were only able to provide the number of investigations and substantiations, and some only reports. Because a self-neglect investigation need not arise only from a report of self-neglect (i.e., it may be discovered during the investigation of other allegations), self-neglect reports could not be assumed for those states that reported only self-neglect investigations and substantiations.

#### KEY POINTS ON STATEWIDE APS REPORTS, ALL AGES

## **Summary of Reports**

## Adults 18-59

- APS received 130,592 reports (26 states).
- APS investigated 107,480 reports (23 states).
- APS substantiated 40,848 reports (19 states).

#### Adults 60+

- APS received 253,426 reports (32 states).
- APS investigated 192,243 reports (29 states).
- APS substantiated 88,455 reports (24 states).

# Adults 18+ (States do not collect data by age group)

- APS received 193,625 reports (26 states).
- APS investigated 161,412 reports (22 states).
- APS substantiated 62,605 reports (19 states).

#### **Self-Neglect**

- APS received 174,940 reports of self-neglect for adults of all ages (34 states).
- APS investigated 170,218 reports of self-neglect for adults of all ages (36 states).
- APS investigated 79,843 reports of self-neglect for adults of all ages (30 states).

#### Adults 18-59

- APS received 41,367 reports of self-neglect (14 states).
- APS investigated 40,945 reports of self-neglect (13 states).
- APS substantiated 24,880 reports of self-neglect (15 states).

#### Adults 60+

- APS received 84,767 reports (21 states).
- APS investigated 82,007 reports (20 states).
- APS substantiated 46,794 reports (20 states).

# Adults 18+ (States do not collect data by age group)

- APS received 48,806 reports (15 states).
- APS investigated 47,266 reports (16 states).
- APS substantiated 8,169 reports (9 states).

In the following sections of the report, text information will only be provided for adults 18-59 and those adults 18+. Although 60+ information is included in the tables, it will not be included in the text. Mentioned earlier, information on the abuse of adults 60+ is contained in an earlier report entitled the 2004 Survey of State Adult Protective Services: Abuse of Adults 60 Years of Age and Older. It is available for download at www.elderabusecenter.org

#### **Sources of Reports**

Table 6 (below) is a compilation of the top ten categories of sources of reports, which, together with the "other" category, account for 88.4% of identified sources.

#### Adults 18-59

Only seven states were able to identify sources of 46,341 reports where the victim was between 18 and 59 years old. The most common sources of reports were from the victim him or herself (23.6%), followed by family members (11.1%), and social services agency staff (9.7%). Although the "other" category represented more than a fourth (25.1%) of reporters, none of the specified subcategories represented more than 7.1% each. Specified "other" reporters included hospital discharge planners, transportation providers, emergency room staff, and education professionals (Table 6).

### Adults 18+ (States do not collect data by age group)

Twenty-one states did not separate data by age categories. They provided source information for 114,594 reports for all adults over age 18. Family members were the most common reporters of abuse (16.3%), followed by social services agency staff (16.1%), and friends and neighbors (8.3%). As with the other age groups, the "other" category accounted for nearly a fourth (23.0%) of the reports. Much of the "other" information (20 out of 43 specified categories) that states collected were too broad to fit into the survey categories. For example, states indicated "government agencies," "hospitals," and "public/private agency" as reporters.

Table 6: Top Ten Source	Table 6: Top Ten Sources of Reports of Abuse													
	Data Collected by Age Group						Collecte	a Not ed by <i>P</i> oup	\ge	All Data Collected				
	Adults	s 18-59	)	Adul	ts 60+		Adul	ts 18+						
Source of Report	Reports	%	n	Reports	%	n	Reports	%	n	Reports	%	n		
Physicians	276	0.6	6	1,361	1.4	3	2,403	1.9	11	4,040	1.5	18		
Home Health Staff	189	0.4	4	2,782	2.9	7	3,479	2.7	11	6,450	2.4	13		
Long Term Care Staff	113	0.2	3	5,196	5.5	6	3,432	2.7	10	8,741	3.3	15		
Nurses/Nurses' Aides	997	2.2	3	4,475	4.7	6	3,927	3.1	7	9,399	3.5	13		
Anonymous/Undisclosed	2,166	4.7	7	3,568	3.8	9	6,396	5.0	18	12,121	4.5	27		
Law Enforcement	1,051	2.3	5	4,964	5.3	10	6,387	5.0	17	12,402	4.6	26		
Friends/Neighbors	1,977	4.3	6	7,511	8	9	10,546	8.3	19	20,034	7.5	27		
Self	10,591	23.6	6	5,902	6.3	10	7,892	6.2	18	24,385	9.1	27		
Social Services Agency	4,479	9.7	6	10,000	10.6	9	20,380	16.1	18	34,859	13.0	27		
Family Members	5,150	11.1	6	16,073	17	10	20,676	16.3	20	41,899	15.7	29		
Other	11,614	25.1	5	21,510	22.8	8	29,085	23.0	21	62,209	23.3	29		

**Note:** The total number of states reporting is not the sum of the numbers reporting across the age categories. Typically, states that provided reports separated by age could do so for both adults 18-59 and adults 60+. Thus, to add the numbers of states across the age groups will double count states.

#### **Categories of Abuse**

States were asked to separate information on investigated and substantiated abuse into the categories of physical abuse, sexual abuse, emotional/psychological/verbal abuse, caregiver neglect/abandonment, financial abuse/exploitation, self-neglect, and other. Forty-one of the fifty-two states and territories were able to provide some information (Tables 7 and 8). Of the eleven that did not provide information, three specifically stated that information will be available in the near future.

#### KEY POINTS ON SOURCES OF REPORTS AND CATEGORIES OF ABUSE

#### **SOURCES OF REPORTS**

- The most common sources of reports (6 states) of abuse of adults aged 18-59 were self (23.6%), family members (11.1%), and social services agency staff (9.7%).
- The most common sources of reports of abuse of adults aged 18+ (19 states do not separate age categories) were family members (16.3%), social services agency staff (16.1%), and friends and neighbors (8.3%).

#### CATEGORIES OF ABUSE

- Self-neglect was the most common category of investigated reports (16 states) for adults 18-59 (21.6%), followed by physical abuse (19.5%) and caregiver neglect/abandonment (18.3%).
- For states (n = 19) unable to separate age categories, the most common category of investigated abuse was emotional/psychological/verbal abuse (31.0%) followed by self-neglect (29.3%), and financial exploitation (15.3%).
- Self-neglect was also the most common category of substantiated reports for adults aged 18-59 (45.4%), followed by caregiver neglect/abandonment (16.8%). The third largest category for adults aged 18-59 was physical abuse (13.2%). Percentages of self-neglect appeared to rise from investigation to substantiation. In fact, for adults aged 18-59, percentages of investigated reports as compared with substantiated reports more than doubled (16 states).
- For states (n = 19) unable to separate age categories, the most common category of substantiated abuse was self-neglect (31.5%), closely followed by emotional/psychological/verbal abuse (31.2%), and caregiver neglect/abandonment (14.4%).

Table 7: Categories of	Table 7: Categories of Abuse Investigated													
		Data Co			Data Not (			All Data						
		by Age	Group		by Age	Group	Colle	Collected						
	Adults	18-59	Adul	ts 60+	Adults	s 18+								
Category	Reports	% n	Reports	% n	Reports	% n	Reports	%	n					
Physical	17,092	19.5 13	23,279	12.5 18	14,774	14.8 14	55,145	14.7	33					
Sexual	3,215	3.7 14	1,348	0.7 17	1,234	1.2 9	5,797	1.6	27					
Emotional/ Psychological/Verbal	13,527	15.4 13	25,232	13.6 16	4,911	4.9 9	43,670	11.7	26					
Caregiver Neglect/Abandonment	16,045	18.3 13	44,222	23.7 17	30,988	31.0 15	91,255	24.4	33					
Financial Exploitation	10,956	12.5 14	38,680	20.8 18	15,335	15.3 16	64,971	17.4	35					
Self-Neglect	18,941	21.6 11	49,809	26.7 17	29,256	29.2 12	98,006	26.2	29					
Other <sup>10</sup>	7,859	9.0 9	3,640	2.0 8	3,574	3.6 5	15,073	4.0	18					
Column Totals	87,635	100 16	186,210	100 19	100,072	100 19	373,917	100	36					

**Note**: The total number of states reporting is not the sum of the numbers reporting across the age categories. Typically, states that provided reports separated by age could do so for both adults 18-59 and adults 60+. Thus, to add the numbers of states across the age groups will double count states.

Table 8: Categories of	Table 8: Categories of Abuse Substantiated														
	Data Collected by Age Group						Collect Group		All Data Collected						
	Adult	s 18-59	Adu	Its 60+		Adult	s 18+								
Category	Reports	% n	Reports	% I	n	Reports	%	n	Reports	%	n				
Physical	3,739	13.2 13	7,691	10.7 1	8	3,448	9.7	14	14,878	11.0	33				
Sexual	555	2.0 12	742	1.0 1	6	244	0.7	9	1,541	1.1	26				
Emotional/ Psychological/Verbal	3,388	11.9 12	10,656	14.8 1	6	2,384	6.7	8	16,428	12.0	25				
Caregiver Neglect/Abandonment	4,762	16.8 13	14,680	20.4 1	6	11,109	31.2	14	30,551	22.5	32				
Financial Exploitation	2,315	8.1 14	10,569	14.7 1	9	5,108	14.4	15	17,992	13.3	35				
Self-Neglect	12,896	45.4 11	26,752	37.2 1	7	11,210	31.5	11	50,858	37.5	29				
Other <sup>11</sup>	751	2.6 7	884	1.2	9	2,059	5.8	7	3,694	2.7	19				
Column Totals	28,406	100.0 16	71,974	100.0 1	9	35,562	100.0	19	135,942	100	36				

**Note:** The total number of states reporting is not the sum of the numbers reporting across the age categories. Typically, states that provided reports separated by age could do so for both adults 18-59 and adults 60+. Thus, to add the numbers of states across the age groups will double count states.

<sup>10)</sup> Texas Adult Protective Services tracks cases of neglect differently than as it was collected in the survey, which led it to report those cases under "Other." These data were not included in Table 7 because to do so creates a disproportionately large category for "Other," and reports of self-neglect are not broken out from caregiver neglect. Here is a breakdown of Texas APS "Other" data for investigations: Adults 18-59: suicide threat, 465; physical neglect, 17,736; medical neglect, 6,309; mental health neglect, 3,194; neglect (MHMR), 2,816. Adults 60+: suicide threat, 296; physical neglect, 30,839; medical neglect, 9,478; mental health neglect, 3,563; neglect (MHMR), 213.

<sup>11)</sup> As above, Texas data for "Other" were removed from Table 8. Texas "Other" data for substantiations: Adults 18-59: suicide threat, 177; physical neglect, 12,240; medical neglect, 4,313; mental health neglect, 2,242; neglect (MHMR), 490. Adults 60+: suicide threat, 92; physical neglect, 21,016; medical neglect, 6,185; mental health neglect, 2,501; neglect (MHMR), 53.

# **Victim Profiles, Substantiated Cases**

# Age of Victims

Twenty states provided data on the age of victims of abuse, broken down into ten year increments (Figure 1). For victims between 18-59 years of age, individuals aged 40-49 made up the largest category of abuse victims (44.2%), followed by persons aged 50-59 (29.8%), and 30-39 (13.9%) (18 states). For adults 18+, individuals 80 years and older were the largest category of abuse victims (30.9%), followed by 70-79 years (26.4%), 60-69 years (15.1%), 40-49 years (12.2%), 50-59 years (8.2%), 30-39 years (3.8%) 18-29 years (3.3%). See Figure 2.

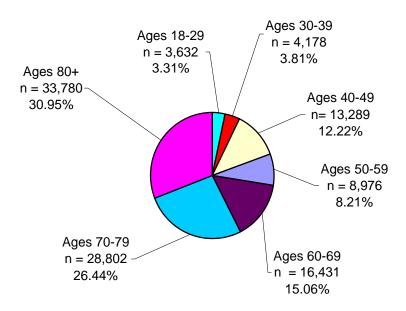


Figure 1: Ages of Abuse Victims 18+

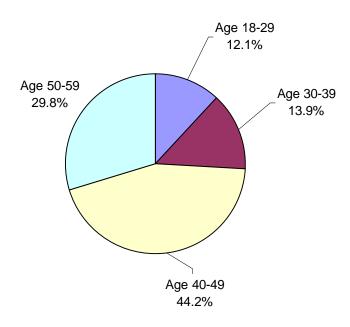


Figure 2: Ages of Abuse Victims 18-59

Gender of Victims in Substantiated Cases

The majority of victims in both age breakouts were female (Table 11). For adults 18-59, 56.9% were female, and 43.1% were male (11 states). Differences in male and female victims were more pronounced for those states with ages not separated (adults 18+): there were 61.7% female victims in this category and 38.3% male victims.

Table 11:	Table 11: Gender of Victims in Substantiated Cases												
	Data Collected Data Not Collected All Data by Age Collected Adults 18-59 Adults 60+ Adults 18+												
	Adults												
	Female	Male	Female	Male	Female	Male	Female	Male					
Reports	11,313	8,559	36,035	18,813	38,774	24,100	86,122	51,472					
%	56.9	43.1	65.7	34.3	61.7	38.3	62.6	37.4					
n	11	11	15	15	13	13	29	29					

**Note:** The total number of states reporting is not the sum of the numbers reporting across the age categories. Typically, states that provided reports separated by age could do so for both adults 18-59 and adults 60+. Thus, to add the numbers of states across the age groups will double count states.

Race of Victims in Substantiated Cases

Twenty-three states provided some information about the race of victims of abuse (Table 12). The majority of victims were Caucasian (76.2%), followed by African American (21.1%), Native Hawaiian and Pacific Islander (1.5%). American Indian and Alaskan Native (0.7%), Asian and "Other" represented 0.4% and 0.3%, respectively.

Table 12: Distrib	Table 12: Distribution of Race for Victims of Abuse														
		Dat	a C	ollected			Data No	t Collec	ted						
			by	Age			by	/ Age		All Data	All Data Collected				
Racial	Adult	s 18-59	)	Adu	Its 60+		Adu	Its 18+		Rov	v Totals	;			
Category	Reports	%	n	Reports	%	n	Reports	%	n	Reports	%	n			
Caucasian	9,548	65.4	9	34,709	77.1	11	34,332	78.5	11	78,589	76.2	24			
African American	4,704	32.2	9	9,606	21.3	13	7,457	17.1	9	21,767	21.1	23			
American Indian/Alaska Native	181	1.2	8	288	0.6	11	260	0.6	8	729	0.7	21			
Asian	114	0.7	8	243	0.5	11	77	0.2	5	434	0.4	18			
Native Hawaiian/Pacific Islander	17	0.1	4	89	0.2	4	1,485	3.4	3	1,591	1.5	8			
Other	42	0.2	4	92	0.2	5	119	0.3	6	253	0.3	12			
Column Totals	14,606	100.0	9	45,027	100.0	13	43,730	100.0	11	103,363	100.0	23			

**Note:** The total number of states reporting is not the sum of the numbers reporting across the age categories. Typically, states that provided reports separated by age could do so for both adults 18-59 and adults 60+. Thus, to add the numbers of states across the age groups will double count states.

#### Location of Abuse

The vast majority of substantiated reports of abuse occurred in domestic settings (82.7%) (Table 13). With 13 states responding, approximately 9.0% of substantiated reports were in long-term care settings, and 2.5% occurred in "other" locations, which included hotels/motels and the workplace. Because in many states there are several other agencies to which reports of abuse occurring in long-term care facilities may be made, (e.g. the long-term care ombudsman program) the actual incidence of abuse occurring in institutions is likely higher than these numbers suggest.

Table 13: Loca	Table 13: Location of Substantiated Abuse													
		Dat	ollected Age			Data No	ot Collect y Age	ted	All Data	All Data Collected				
Location	Adult Reports	s 18-59 %	n	Adu Reports	lts 60+	n	Adı Reports	Adults 18+ Reports % n			%	n		
Domestic Setting	15,445	85.0	8	40,223	89.3	12	34,197	75.1	9	Reports 89,865	82.7	22		
Hospitals	75	0.4	4	194	0.4	5	2,149	4.7	4	2,418	2.2	8		
Long-Term Care Facility	840	4.6	5	2,785)	6.2	7	6,198	13.6	5	9,823	9.0	13		
Mental Health Facility	133	0.7	4	50)	0.1	3	602	1.3	4	785	0.7	7		
Developmental Disability Facility	453	2.5	5	146)	0.3	4	217	0.5	3	816	0.8	7		
Homeless	516	2.8	4	287	0.6	6	466	1.0	3	1,269	1.2	10		
Other	530	2.9	5	820	1.8	7	1,356	3.0	4	2,706	2.5	11		
Unknown	175	0.9	5	523	1.1	9	323	0.7	3	1,021	0.9	12		
Column Totals	18,167	100.0	9	45,028	100.0	13	45,508	100.0	10	108,703	100.0	23		

**Note:** The total number of states reporting is not the sum of the numbers reporting across the age categories. Typically, states that provided reports separated by age could do so for both adults 18-59 and adults 60+. Thus, to add the numbers of states across the age groups will double count states.

#### **KEY POINTS ON VICTIMS**

- Age. For victims 18-59 years of age (18 states), individuals aged 40-49 made up the largest category of abuse victims (44.2%), followed by persons aged 50-59 (29.8%), and aged 30-39 (13.9%). For adults aged 18+, individuals 80 years and older were the largest category of abuse victims (30.9%), followed by those aged 70-79 years (26.4%), aged 60-69 years (15.1%), aged 40-49 years (12.2%), aged 50-59 years (8.2%), aged 30-39 years (3.8%), and aged 18-29 years (3.3%) with 20 states reporting.
- Gender. For victims 18-59 years of age, there were 56.9% females; for victims 18+, 61.7% of victims were female.
- Race. The majority of victims 18-59 were Caucasian (65.4.2%), followed by African-American (32.2%) (9 states). For states unable to separate age categories of victims, 78.5% were Caucasian, and 17.1% were African-American (11 states).
- <u>Location of Abuse</u>. The vast majority of substantiated reports of abuse occurred in domestic settings for both age breakouts. For the age 18-59 group, 85.0% occurred in domestic settings, and 4.6% occurred in long-term care settings (9 states). For states unable to separate age categories, 75.1% occurred in domestic settings, and 13.6% in long-term care settings (10 states).

#### **Alleged Perpetrators, Substantiated Cases**

Nineteen states provided data on the gender of perpetrators in substantiated reports (Table 14) across all age categories. For adults ages 18-59, the gender of perpetrators was virtually even, with 50.8% female and 49.2% male (7 states). For those states unable to break out by age categories (adults 18+), the female/male differences were greater, with 55.7% women and 44.3% men (11 states).

Table 14: Gender of Perpetrators												
	D		ollected Age				ot Coll		All Data Collected			
	Adults 18	ılts 60	+	Ad	dults 18	3+						
Gender	Reports %	n	Reports	%	n	Reports	s %	n	Reports	%	n	
Female	2,323 50.8	7	9,150	52.7	11	7,057	55.7	8	18,530	53.5	19	
Male	2,252 49.2	7	8,224	47.3	11	5,614	44.3	11	16,090	46.5	19	

**Note:** The total number of states reporting is not the sum of the numbers reporting across the age categories. Typically, states that provided reports separated by age could do so for both adults 18-59 and adults 60+. Thus, to add the numbers of states across the age groups will double count states.

#### Age of Alleged Perpetrators in Substantiated Cases

Only nine states provided data on the age of perpetrators of abuse, broken down into ten year increments (Table 15). For those states breaking out data for the 18-59 age group, the majority of perpetrators were 40-49, followed by those aged 19-29 (19.5%) and those aged 30-39 (18.9%). For adults aged 18+, the majority of perpetrators fell in the age 50-59 group (25.8%) age range followed by those who were 70-79 (12.8%). These data should be approached very cautiously due to the low number of states able to provide information on these age breakouts.

Table 15: Ages of Abuse Perpetrators													
	Data Collected by Age							Data Not llected l Age		All Data Collected			
Perpetrator Age	Adults 18-59 Reports % n			Adults 60+ Reports % n			Ac Repo	dults 18 erts %	<b>+</b>	Reports	%	n	
<18	312	7.9	4	333	4.3	6	2	1.7	1	647	5.5	8	
19-29	773	19.5	5	810	10.6	7	5	4.3	2	1,588	13.5	9	
30-39	749	18.9	5	1,235	16.1	6	32	2.7	1	2,016	17.2	8	
40-49	1,030	26.0	5	1,963	25.3	6	32	2.7	1	3,025	25.8	8	
50-59	674	17.0	5	1,415	18.5	6	24	20.5	1	2,113	18.0	8	
60-69	247	6.2	5	862	11.2	7	7	6.0	2	1,116	9.5	9	
70-79	131	3.3	4	602	7.9	7	15	12.8	1	748	6.4	8	
80+	41	1.0	3	446	5.8	7	0	0.0	0	487	4.1	7	
Total	3,957	100.0	5	7,666	100.0	8	117	100.0	2	11,740	100.0	9	

**Note:** The total number of states reporting is not the sum of the numbers reporting across the age categories. Typically, states that provided reports separated by age could do so for both adults 18-59 and adults 60+. Thus, to add the numbers of states across the age groups will double count states.

Twenty-three states provided information on the relationship of the perpetrator to the victim (Table 16). For adults aged 18-59, the most common relationship, within which abuse occurred, was long-term care facility staff (20.1%), followed by parent (18.9%). For adults aged 18+ (states unable to separate ages), the most common relationships were other family member (e.g., sibling, grandchild, unspecified family member), followed by adult child (16.6%), and long-term care facility staff (16.2%). As with the previous data on perpetrators, these numbers should be approached with caution, as the number of states able to provide information in this category is very low.

Table 16: Relationship of Identified Perpetrator to Victim												
		Dat		ollected Age		Data Not Collected by Age			All Data Collected			
	Adults 18-59			Adul	ts 60+	•	Adults 18+					
Perpetrator	Reports	%	n	Reports	%	n	Reports	%	n	Reports	%	n
Adult Child	617	11.4	7	5,976	32.6	8	2,471	16.6	9	9064	20.2	20
Community Service Provider	615	11.3	7	693	3.8	6	87	0.6	5	1,395	3.5	13
Long-term Care Facility Staff	1,089	20.1	5	90	0.5	4	2,412	16.2	6	3,591	9.3	11
Other Family Member†	808	14.9	8	3,670	20.0	10	2,682	18.0	7	7,160	18.5	19
Parent	1,023	18.9	8	277	1.5	5	607	4.1	9	1,907	4.9	18
Spouse/Intimate Partner	488	9.0	8	2,074	11.3	10	958	6.4	8	3,520	9.1	20
Unknown	78	1.4	4	2,989	16.3	8	1,706	11.4	7	4,773	12.3	14

<sup>†</sup> This category includes sibling, grandchild, and unspecified family member.

**Note:** The total number of states reporting is not the sum of the numbers reporting across the age categories. Typically, states that provided reports separated by age could do so for both adults 18-59 and adults 60+. Thus, to add the numbers of states across the age groups will double count states.

# **Abuse Registry**

Twenty-one states (40.4%) maintain an abuse registry or database of alleged perpetrators. States maintaining an abuse registry are Arkansas, Delaware, Hawaii, Iowa, Indiana, Kansas, Louisiana, Massachusetts, Minnesota, Missouri, Mississippi, Nebraska, New Mexico, Nevada, Oklahoma, Oregon, Texas, Utah, Vermont, Washington, and Wyoming. Five states (Alaska, Idaho, New Jersey, West Virginia, and Wisconsin) do not maintain a specific registry of alleged perpetrators, but do maintain some type of registry or database of the individuals involved in abuse cases.

#### **KEY POINTS ON ALLEGED PERPETRATORS**

- Age. For states (n = 5) providing data for individuals 18-59, the largest cohort of perpetrator age was that of persons between 40-49 years of age (26.0%) followed by those between 19-29 years of age (19.5%), between 30-39 years of age (18.9%) and between 50-59 years of age (17.0%). For states (n = 2) unable to separate age categories, perpetrators were typically between the ages of 50-59 (20.5%) followed by those between the ages of 70-79 (12.8%). These data should be regarded extremely cautiously due to the very low numbers of states able to provide this information.
- Gender. For states (n = 7) able to break out data for vulnerable adults 18-59 years of

- age, perpetrators were virtually of the same gender—50.8% females and 49.2% males. For the 11 states unable to separate age categories, 55.7% of perpetrators were female and 44.3% were male.
- Relationship. For adults aged 18-59, the most common relationship within which abuse occurred was long-term care facility staff (20.1%), followed by parent (18.9%) (8 states). For adults aged 18+, the most common relationship (18.0%) was that of other family member (e.g., sibling, grandchild, unspecified), followed by adult child (16.6%), and long-term care facility staff (16.2%) (9 states).
- <u>Abuse Registry</u>. Twenty-one states (40.4%) maintain an abuse registry or database of alleged perpetrators, while 31 (59.6%) do not.

## **Interventions and Outcomes, Substantiated Cases**

Court Interventions and Involuntary Adult Protective Services

Twenty-three states provided information about court interventions or legal actions to protect clients and subsequent involuntary adult protective services. Of these cases, 39.1% resulted in involuntary adult protective services.

# Reasons for Case Closure

Seventeen states provided reasons why cases of elder and younger vulnerable adult abuse were closed (Table 17). The majority of these cases (50.5%) were closed because the client was no longer in need of services or the risk of harm was reduced. In an additional 13.0% of case closures, the client refused further services. Cases were also closed due to referrals to law enforcement (14.4%), clients entering a long-term care facility (5.3%), and death (2.8%). Clients moving out of the service area and APS being unable to locate clients accounted for less than 2% of total cases closed.

Table 17: Reasons for Closure													
		Da	ollected Age				ot Collec y Age	ted	All Data Collected				
	Adults 18-59			Adults 60+			Adults 18+						
Reason	Reports % n		Reports	%	n	Reports	%	n	Reports	%	n		
Client moved	10	0.2	3	146	0.9	6	733	1.4	3	889	1.3	8	
Client died	102	2.3	5	861	5.3	7	1,278	2.4	5	1,884	2.8	12	
Client entered LTC facility	7	0.2	3	1,026	6.3	5	2,502	4.6	6	3,535	5.3	11	
Client refused further services	635	14.5	5	2,603	16.0	7	7,079	13.1	8	8,770	13.0	15	
Client no longer in need	2,974	67.9	4	6,847	42.0	5	29,529	54.6	8	33,989	50.5	13	
Client can't be located	118	2.7	4	102	0.6	3	620	1.1	5	649	1.0	9	
Case referred to law enforcement	420	9.6	3	1,276	7.8	2	8,004	14.8	3	9,700	14.4	6	
Other <sup>12</sup>	112	2.6	2	3,429	21.1	5	4,355	8.0	5	7,896	11.7	10	
Total	4,378	100.0	6	16,290	100.0	9	54,100	100.0	10	67,312	100.0	17	

**Note:** The total number of states reporting is not the sum of the numbers reporting across the age categories. Typically, states that provided reports separated by age could do so for both adults 18-59 and adults 60+. Thus, to add the numbers of states across the age groups will double count states.

#### Outcome Measures

All states were asked to provide information regarding the risk of clients (i.e., risk reduced, risk remained the same, risk increased) for abuse, neglect, self-neglect, and exploitation. Only four states, Colorado, Connecticut, Louisiana, and Massachusetts, and the territory of Guam attempted to provide some information on outcomes of APS involvement.<sup>13</sup>

# KEY POINTS ON INTERVENTIONS AND OUTCOMES SUBSTANTIATED CASES

- Over half (50.2%) of cases were closed because the client was no longer in need of services or the risk of harm was reduced (13 states).
- Only Colorado, Connecticut, Louisiana, Massachusetts, and Guam attempted to provide information on outcomes of APS involvement. Outcome information requested for the age groups concerned risk reduced, risk remained the same, risk increased for abuse, neglect, self-neglect, and exploitation.

<sup>&</sup>lt;sup>12</sup> Texas Adult Protective Services provided data in the "Other" category that was not collected by the survey. These data were not included in Table 13 because to do so creates a disproportionately large category for "Other." Here is a breakdown of Texas data: Adults 18-59: service unavailable, 139; unable to determine, 2; valid finding, progress to service delivery, 13,577; normal closure (MHMR investigations). 950. Adults 60+: invalid finding, 2; service unavailable, 112; unable to determine, 3; valid finding, progress to service delivery, 23,403; normal closure (MHMR investigations), 58.

<sup>&</sup>lt;sup>13</sup> Data were not included because two states' outcome numbers were significantly higher than substantiated report totals provided.

#### **Conclusions and Recommendations**

#### **Conclusions**

Reports of elder abuse, neglect, and exploitation increased significantly from the 2000 Survey, representing a 19.6% increase for adults of all ages. The substantiation rate was fairly consistent across the two time periods, with 48.5% in 2000 and 46.2% as reported in the 2004 Survey.

Only seven states could provide data on sources of reports for adults aged 18-59. Of those states reporting, the largest number of complaints was from the victim herself or himself, followed by family members, and social services staff. For those states not breaking out data (adults 18+), family members were the most common reporters followed by social service agency staff and friends and neighbors. In smaller numbers interesting subsets emerged for these categories such as hospital discharge planners, transportation providers, emergency room staff, government agencies, and hospitals. It is appropriate that more in-depth investigations occur regarding these types of reporters and how they can be encouraged to report suspicions to APS.

For the 18-59 year old age category, self-neglect and physical abuse made up approximately one-fifth of investigated reports. For this age category, self-neglect rose to nearly one-half of cases upon substantiation. For investigations of abuse of adults aged 18+, caregiver neglect/abandonment represented the highest percentage of abuse category but was closely followed by self-neglect (for the same category and upon substantiation, caregiver neglect/abandonment and self-neglect percentages were virtually the same). It should be noted that the states providing data on categories for investigated cases were not the same states providing data on categories for substantiated cases.

For both adults aged 18-59 and adults aged 18+, the majority of victims were women. Most abused persons 18-59 years of age, were in the 40-49 year old age range. For adults aged 18+, individuals 80 years old and older were the largest category of abuse victims, but were closely followed by those between 70-79 years of age. Domestic settings were the most common setting of abuse in substantiated reports, representative of the fact that all state APS programs investigate in domestic settings but not all investigate in facilities. For both age categories, the majority of victims of abuse were of Caucasian descent, followed by African-Americans.

The ages of perpetrators for adults aged 18-59 and aged 18+ were provided by very few states. For the 18-59 age group, most perpetrators were aged 40-49. For adults aged 18+, the majority of perpetrators fell in the 50-59 (25.8%) year old age range. Stressed earlier, these data should be approached very cautiously due to the low number of states able to provide information for these age breakouts. For both sets of data reported, the gender of perpetrators was fairly evenly divided between males and females. The most frequent perpetrators of abuse of adults aged 18-59 were long-term care facility staff, followed by parents. For adults aged 18+ other family members (e.g., siblings,

grandchildren, unspecified family members) were most frequently perpetrators, with adult children and long-term care facility staff similar in percentage.

For both the age 18-59 group and adults aged 18+, cases were typically closed because the client was no longer in need of services. Not indicated in this survey is why the client was no longer in need of services. A follow-up question asking states to provide case outcomes was completed by four states and Guam, but, for two states, outcome data appeared inconsistent with other numbers provided for the survey.

#### Limitations

Conclusions and recommendations in this report are limited by the inability of all states to provide data for many of the questions asked. Definitions of terms likely were a contributing factor, although the survey included general definitions of terms to help respondents provide information. The NAPSA definitions may not have been consistent with state law, and it is doubtful that states changed their data collection procedures to conform with the survey definitions.

#### Recommendations

- Accurate and uniform data should be continuously collected at both state and national
  levels so that abuse trends may be reported and tracked. A concerted effort is
  necessary to create uniform definitions of, and measures for, reporting abuse. As a
  baseline, all states need to be able to provide the information that the survey
  requested.
- Adults aged 18-59 appear to report their own abuse. Further exploration of this finding is warranted.
- States should collect detailed age and gender specific information as well as race and ethnicity of victims and alleged perpetrators. Little is known about the racial composition and ethnic background data of vulnerable adult abuse victims.
- It is crucial that states collect outcome data on the clients served. This information will be extremely helpful in determining efficacy of APS intervention.
- Increased numbers of reports, investigations, and substantiations suggest the need for increased local, state, and national intervention and education efforts targeted toward the abuse of vulnerable adults
- Little information is available about perpetrators and what happens to them as a result of APS interventions. States should collect as much information as possible not only about the victims, but also about the perpetrators. Data collected will inform multiple actors in the vulnerable adult abuse arena regarding prevention, intervention, and advocacy.
- A national study of APS data, specifically related to the abuse of adults, should be conducted no less than every four years. The increment of every four years is recommended because studies conducted in the past twelve years have been conducted within this time frame. This regularity is desirable for methodological comparability and to help states establish a uniform set of data to collect.

### APPENDIX A

# The 2004 Survey of Adult Protective Services Data

The National Center on Elder Abuse (NCEA) is conducting a national study of elder abuse. The National Committee for the Prevention of Elder Abuse and the National Adult Protective Services Association, partners of the Center, will carry out the project. The University of Kentucky is conducting the research for NCPEA. The results of this survey will provide the most comprehensive information about reports of elder abuse in the country.

It is vital to the project to have your assistance in completing this survey. We anticipate that survey completion will take approximately 45 minutes. If you have any questions, do not hesitate to contact Tyler Dugar, A.B.D., Research Coordinator, at <a href="mailto:tdugar@uky.edu">tdugar@uky.edu</a> or 859.257.1450 x80191. You may return the survey by e-mail attachment, fax (cover sheet provided), or conventional mail (mailing label provided). Please return the survey by **September 24**. If you return the survey via email as an attachment, please send to <a href="mailto:tdugar@uky.edu">tdugar@uky.edu</a> with the subject line "APS Survey."

#### DEFINITIONS FOR 2004 NCEA SURVEY OF STATE APS PROGRAMS

For the purposes of this study and in order to generalize the findings, definitions have been drawn from articles in Vol. XXIV of Generations- the Journal of the American Society on Aging (2001), Elder Mistreatment: Abuse, Neglect, and Exploitation in an Aging America (2003), NAPSA, Key Words in Ethics, Law, and Aging (Kapp, 1995) and the Older Americans Act.

Please refer to the definitions below as guidelines when answering the questions for your state.

#### **DEFINITIONS**

**<u>Abandonment:</u>** The desertion of an elderly person by an individual who has assumed responsibility for providing care for an elder, or by a person with physical custody of an elder.

**Abuse:** The infliction of physical or psychological harm or the knowing deprivation of goods or services necessary to meet essential needs or to avoid physical or psychological harm.

Adult Protective Services: Services provided to elders and to vulnerable adults with disabilities who are, or who are in danger of, being abused, neglected, or financially exploited, who are unable to protect themselves, or who have no one to adequately assist them. The term includes activities such as receiving reports of abuse, neglect or financial exploitation; disseminating reports of adult abuse, neglect or exploitation; investigating those reports; case planning; monitoring; evaluation; providing other casework services; and providing, arranging for, or facilitating the provision of medical, social service, economic, legal, housing, law enforcement, or other protective, emergency, or support services targeted toward risk reduction, increased safety and protection.

<u>Caregiver:</u> An individual who has the responsibility for the care of an elder either voluntarily, by contract, by receipt of payment for care, or as a result of the operation of law. The term refers to a family member or other individual who provides (on behalf of such individual or of a public or private agency, organization, facility or institution) compensated or uncompensated care to an elder or vulnerable adult who needs supportive services in any setting.

**Elder:** A person 60 years of age or older. Elders may also be referred to as older adults.

**Emotional/psychological/verbal abuse:** The infliction of anguish, pain, or distress through verbal or nonverbal acts. Emotional/psychological abuse includes but is not limited to verbal assaults, insults, threats, intimidation, humiliation, and harassment. In addition, treating an older person such as an infant; isolating an elderly person from his/her family, friends, or regular activities; and enforced social isolation are examples of emotional/psychological abuse.

**<u>Fiduciary:</u>** In a fiduciary relationship, the more powerful party (i.e. the fiduciary) accepts the special obligation to act in a manner consistent with the best interests of the less powerful party, rather than primarily serve his or her own interests.

<u>Financial or Material Abuse/Exploitation:</u> The illegal or improper use of an older person's or vulnerable adult's funds, property, or assets. Examples include, but are not limited to, cashing an older/vulnerable person's or checks without authorization or permission; forging an older person's signature; misusing or stealing an older person's money or possessions; coercing or deceiving an older person into signing any document (e.g., contracts or will); and the improper use of conservatorship, guardianship, or power of attorney.

**FY 2003:** FY 2003 refers to Fiscal Year 2003. FY 2003 means the twelve month period the individual state defines as the fiscal year.

<u>Guardianship:</u> (a) the process by which a court determines that an adult individual lacks capacity to make decisions about self-care and/or property and appoints an individual or entity known as a guardian, conservator, or a similar term, who serves as a surrogate decision maker; (b) the manner in which the court-appointed surrogate carries out duties to the individual and the court; or (c) the manner in which the court exercises oversight of the surrogate.

<u>Investigation/Assessment</u>: The process of collecting information through interviews, inquiry, or similar means, for the purpose of determining whether or not alleged victims of elder/vulnerable adult abuse need protective services or other services to decrease risks to their health and safety or whether or not allegations of abuse are founded/believed to be true.

<u>Involuntary Adult Protective Services:</u> Interventions initiated by Adult Protective Services social workers, without the consent of the affected adult, for the purpose of safeguarding the vulnerable adult who is at risk of abuse, neglect, or exploitation. The services are involuntary because: (a) the recipient of services lacks capacity to consent to receive the services (b) there is no person authorized to consent on his/her behalf, and (c) intervention is ordered by the court of jurisdiction.

#### **Location/Living Arrangements:** Living arrangements are delineated by:

- ♦ *Domestic location:* Living alone or with others in a private residence in the community.
- ♦ *Domestic violence shelters:* Includes safe houses and other residential arrangements made specifically for victims of domestic abuse.
- ♦ Long-term care facility setting: Includes nursing homes, long term care assisted living facilities, continuing care retirement communities, boarding home or group home arrangements.
- ♦ Mental health/Mental Retardation/Developmental Disabilities (DD) facilities: Includes psychiatric treatment and DD facilities, group homes, boarding homes, host homes and/or adult foster care homes specifically for persons with mental illness or developmental disabilities that provide treatment and/or care.
- ♦ *Homeless:* Includes homeless shelters as well as no permanent living arrangement.

**Neglect:** The refusal or failure to fulfill any part of a person's obligations or duties to an elder. Neglect may also include failure of a person who has fiduciary responsibilities to provide care for an elder (e.g., pay for necessary home care services) or the failure on the part of an in-home service provider to provide necessary care. Neglect typically means the refusal or failure to provide an elderly person/vulnerable adult with such life necessities as food, water, clothing, shelter, personal hygiene, medicine, comfort, personal safety, and other essentials included in an implied or agreed-upon responsibility to an elder.

**Physical Abuse:** The use of physical force that may result in bodily injury, physical pain, or impairment. Physical abuse may include but is not limited to such acts of violence as striking (with or without an object), hitting, beating, pushing, shoving, shaking, slapping, kicking, pinching, and burning. In addition, inappropriate use of drugs and physical restraints, force-feeding, and physical punishment of any kind also are examples of physical abuse.

**Report:** An allegation, request for assistance or application for services regarding a situation of abuse, neglect by others, financial exploitation, or self-neglect of an elder or vulnerable adult received by the agency or agencies responsible for providing adult/elder protective services.

<u>Self-Neglect:</u> An adult's inability, due to physical or mental impairment or diminished capacity, to perform essential self-care tasks including (a) obtaining essential food, clothing, shelter, and medical care; (b) obtaining goods and services necessary to maintain physical health, mental health, or general safety; and/or (c) managing one's own financial affairs. Choice of lifestyle or living arrangement is not, in itself, evidence of self-neglect.

<u>Sexual Abuse:</u> The coercion of an older person/vulnerable adult through force, trickery, threats, or other means into unwanted sexual activity. It includes sexual contact with elders/vulnerable adults who are unable to grant consent and unwanted sexual contact between service providers and their elder clients.

<u>Substantiated Report:</u> Through the process of investigation/assessment or evaluation it is determined that the allegations of abuse are believed to be founded or true.

**<u>Vulnerability:</u>** Financial, physical or emotional dependence on others or impaired capacity for self-care or self-protection.

<u>Vulnerable Adult:</u> An adult, age 18 to 59 or older, who needs protections and programs that are the same as, or similar to, protections and programs for elder adults, including an adult who, due to a developmental, cognitive, psychological, physical, or other type of disability, is unable to protect him/herself from abuse, neglect, or financial exploitation or is unable to provide or obtain essential care or services.

#### Note:

For the purposes of this survey and unless specified,

- *Abuse* includes physical abuse, sexual abuse, and emotional/psychological/verbal abuse.
- Neglect includes self-neglect unless otherwise specified.
- Exploitation includes financial or material abuse.

### CONTACT INFORMATION OF PERSON COMPLETING SURVEY Name Title Agency Name Street Address City State Zip Code Telephone Fax E-mail Website **SECTION A: STATEWIDE REPORTING NUMBERS** Please answer all questions using only your FY 2003 data on elder/vulnerable adult abuse, neglect (including self-neglect), and exploitation. FY 2003 data refer to how your state defines a twelve month fiscal year. Note: Please provide data only if your state has collected FY 2003 data.

Please provide only numbers for this section.

1.	In FY 2003, I	how many	reports of	elder/vulnerable	adult	abuse,	neglect,	and
	exploitation we	ere <u>receive</u>	<u>d</u> ?					

**State cannot provide this information** (please check box if appropriate).

	Elder adults,	Vulnerable	Vulnerable and
	ages 60+	adults, ages	elder adults
		18-59	(state cannot
			separate data)
Number of			·
reports			

1b. How many of the above reports were self-neglect?							
	State cannot provi	de this informat	t <b>ion</b> (please check b	oox if appropriate).			
	Elder adults, ages 60+	Vulnerable adults, ages 18-59	Vulnerable and elder adults (state cannot separate data)				
Numbe reports	r of						
			18				
2.	In FY 2003, how exploitation were <u>in</u>	-		adult abuse, neglect, and			
	State cannot provi	de this informat	t <b>ion</b> (please check b	ox if appropriate).			
	Elder adults, ages 60+	Vulnerable adults, ages 18-59	Vulnerable and elder adults (state cannot separate data)				
Numbe reports	r of						
2b.	How many of the a	•	C	oox if appropriate).			
	Elder adults, ages 60+	Vulnerable adults, ages 18-59	Vulnerable and elder adults (state cannot separate data)				
Numbe	r of		coparate data)				
3. In FY 2003, how many <b>reports</b> of elder/vulnerable adult abuse, neglect, and exploitation were <b>substantiated?</b>							
	State cannot provi	de this informat	t <b>ion</b> (please check b	oox if appropriate).			
Nivers In a	Elder adults, ages 60+	Vulnerable adults, ages 18-59	Vulnerable and elder adults (state cannot separate data)				
Numbe	1 01						

3b. How many of the above reports were self-neglect?								
Star	te cannot provid	de this informat	<b>ion</b> (please check	box if appropriate).				
	Elder adults, ages 60+	Vulnerable adults, ages 18-59	Vulnerable and elder adults (state cannot separate data)					
Number of reports								

Please provide any comments or explanations you would like on questions from this section. (Specify question number when responding).

#### SECTION B: COMPLAINTS RECEIVED

4. What were	the sources of elde	er/vulnerable adult a	abuse, neglect, and exp	loitation				
			the number of total rep					
come from sources below).								
State does not track this information. (Please check this box if applicable and								
<del></del>	to Section C).	ormation. (1 tease co	πετκ τητό σολ τη αρριτιαστ	ie ana				
proceea i		Mala analala a dalta	Mala and I and alder	İ				
COURCE OF	Elder adults, ages	Vulnerable adults,	Vulnerable and elder					
SOURCE OF REPORTS	60+	ages 18-59	adults (state cannot					
REPORTS			separate data)					
Anonymous/								
Undisclosed								
Animal Control								
Staff								
Area Agencies								
on Aging								
Attorneys								
/								
Bankers								
Clergy								
Coroners								
Dentists								
Developmental								
Disabilities Staff								
EMT/								
Firefighters								
Family Members								
Friends/								
Neighbors								
Guardian/								
Conservator			_					
Home Health Staff								
Housing Agency Landlord								
Law								
Enforcement								
Long-term Care								
Facility Staff								
Long-term Care								
Ombudsmen								
Mental Health								
Staff								
Nurses/Nurses'								
Aides								

SOURCE OF REPORTS	Elder adults, ages 60+	Vulnerable adults, ages 18-59	Vulnerable and elder adults (state cannot separate data)
Paid Caregivers			
Pharmacists			
Physicians			
Psychologists			
Self (Individual Abuse)			
Social Services Agency Staff			
Social Workers (Private Practice)			
Other 1 (please specify)			
Other 2 (please specify)			
Other 3 (please specify)			

Please provide any comments or explanations you would like on questions from this section. (Specify question number when responding).

#### SECTION C: CATEGORIES OF ABUSE

5. Please provide the <b>total number of allegations</b> for each of the following categories in FY 2003. (Numbers for this section may be higher than the total number of reports in Section A due to multiple allegations/findings).
a.) Information for elder adults, ages 60+:
State does not separate information by age (please check box if this is the case

CATEGORIES	Elder adults, ages 60+				
OF ABUSE	Investigated (number)	Substantiated (number)			
Physical Abuse					
Sexual Abuse					
Emotional/ Psychological/ Verbal Abuse					
Caregiver Neglect/ Abandonment					
Financial Abuse/ Exploitation					
Self-neglect					
Other (please specify)					

and proceed to question 5c).

b.) Vu	Inerable adults, ages 18-59:
	State does not separate information by age (please check box if this is the case
	and proceed to question 5c).

_	Vulnerable adults			
CATEGORIES	(ages 18-59)			
OF ABUSE	Investigated			
	(number)	(number)		
Physical				
Abuse				
Sexual Abuse				
Emotional/				
Psychological/				
Verbal Abuse				
Caregiver				
Neglect/				
Abandonment				
Financial				
Abuse/				
Exploitation				
Self-neglect				
Other (please				
specify)				

c.) Please provide information for vulnerable and elder adults. (Complete the following chart only if you were unable to separate information for questions 5a & 5b).

0475000150	Vulnerable				
CATEGORIES	adults, ages 18+				
OF ABUSE	Investigated				
	(number)	(number)			
Physical					
Abuse					
Sexual Abuse					
Emotional/					
Psychological/					
Verbal Abuse					
Caregiver					
Neglect/					
Abandonment					
Financial					
Abuse/					
Exploitation					
Self-neglect					
Other (please					
specify)					

Please provide any comments or explanations you would like on questions from this section. (Specify question number when responding).

# For Sections D, E, and F, please provide information from substantiated cases only

## SECTION D: VICTIM INFORMATION FOR SUBSTANTIATED CASES ONLY

Please	provide	only	numh	ers for	this	section
1 icuse	provide	omy	numo	usjui	uuus	secuon.

•	please provide the nun and exploitation.	nber of individuals w	ho experienced substantiated		
State of	cannot provide this inf	Cormation (please chec	ck box if appropriate).		
SEX	Elder adults, ages 60+	Vulnerable adults, ages 18-59	Vulnerable and elder adults, ages 18+ (state cannot separate data)		
Female					
Male					
<ul> <li>7. By ethnicity, please provide the number of individuals who experienced substantiated abuse, neglect and exploitation.</li> <li>State cannot provide this information (please check box if appropriate).</li> </ul>					
State (	amot provide this in	ormation (pieuse ched	.κ σολ η αρριοριίαιε).		
ETHNICITY	Elder adults, ages 60+	Vulnerable adults, ages 18-59	Vulnerable and elder adults, ages 18+ (state cannot separate data)		
Hispanic/ Latino					
Non-Hispanic/ Latino					

	_	umber of individuals water and exploitation.	ho experienced substantiated
State car	nnot provide thi	s information (please	check box if appropriate).
RACE	Elder adults, age 60+	vulnerable adults, ages 18-59	Vulnerable and elder adults, ages 18+ (state cannot separate data)
Black or African American			(**************************************
American Indian and Alaska Native			
Asian			
Native Hawaiian and other Pacific Islander			
White or Caucasian			
Some other race			
Unknown			
elder/vulnerable	adult abuse, neg	lect, and exploitation.	uals who experienced substantiated
AGE	Total Number of Reports		
Younger than 18 Years	or Reports		
18-29 years			
30-39 years			
40-49 years			
50-59 years			
60-69 years			
70-79 years			
80 years and older			

exploitation that	occurred.		substantiated reports of abu  (please check box if appro	, ,	
LOCATION	Elder adults, ages 60+	Vulnerable adults, ages 18-59	Vulnerable and elder adults (state cannot separate data)	primic).	
Domestic Setting					
Hospitals					
Long-Term Care Facility					
Mental health facilities					
Developmental Disabilities facilities					
Homeless					
Other Location (please specify)					
Unknown					
Please provide any comments or explanations you would like on questions from this section. (Specify question number when responding).  SECTION E: ALLEGED PERPETRATOR INFORMATION FOR					
Please provide o	nly numbers for	this section.			
• -	ase provide the n nd exploitation fo		ged perpetrators of elder/vd cases only.	ulnerable adult	
State car	nnot provide this	information	(please check box if appro	priate).	
SEX OF ALLEGED PERPETRATOR Female	Elder adults, ages 60+	Vulnerable adults, ag 18-59	III		
Male					

12. By age category, please provide the number of alleged perpetrators of elder/vulnerable adult abuse, neglect, and exploitation.

**State cannot provide this information** (please check box if appropriate).

			Precise encert vert if app
AGE OF	Elder adults,	Vulnerable	Vulnerable and elder
ALLEGED	Ages 60+	adults, ages	adults (state cannot
PERPETRATOR	_	18-59	separate data)
18 years and			
younger			
18-29 years			
30-39 years			
40-49 years			
50-59 years			
60-69 years			
70-79 years			
80 years and older			

13. By relationship to the victim, please provide the number of alleged perpetrators of substantiated cases of elder/vulnerable adult abuse, neglect, and exploitation.

**State cannot provide this information** (please check box if appropriate).

RELATIONSHIP OF	Elder adults,	Vulnerable	Vulnerable and elder
ALLEGED	ages 60+	adults, ages	adults (state cannot
PERPETRATOR TO		18-59	separate data)
VICTIM			,
Adult Child			
Agent Acting under			
Power of Attorney			
Community Service			
Provider			
Friend/Neighbor			
Grandchild			
Guardian/			
Conservator			
Hospital Staff			
Long-term Care			
Facility Staff			
No Relationship/			
Stranger			
Other Family			
Member			

RELATIONSHIP OF ALLEGED PERPETRATOR TO VICTIM	Elder adults, ages 60+	Vulnerable adults, ages 18-59	Vulnerable and elder adults (state cannot separate data)		
Parent					
Representative Payee					
Sibling					
Spouse/ Intimate Partner					
Tenants					
Other 1 (please specify)					
Other 2 (please specify)					
Unknown					
14. Does your program maintain an abuse registry or database of alleged perpetrators?  Yes No Please provide any comments or explanations you would like on questions from this section. (Specify question number when responding).					
SECTION F: SERVICE DELIVERY AND OUTCOMES FOR					
Please provide only numbers for this section.					
15a. How many cases of elder/vulnerable adult abuse, neglect, and exploitation involved court interventions or legal actions in order to protect clients?					
State cannot provide this information (please check box if appropriate).					
15b. How many of the above cases resulted in involuntary adult protective services?					
State cannot provide this information (please check box if appropriate).					

	•	reports of elderages of the following states of the fo	vulnerable adult abuse, neg ng reasons.	lect, a
	provide this in	formation (plea	se check box if appropriate).	
REASON FOR CLOSURE	Elder adults, ages 60+	Vulnerable adults, ages 18-59	Vulnerable and elder adults (state cannot separate data)	
Client moved out of service area				
Client died				
Client entered long- term-care facility				
Client refused further services				
Client no longer in need of services (risk of harm reduced)				
Unable to locate client				
Referred to law enforcement				
Other (please specify)				
	_		was the outcome for victims lect, and exploitation upon ca	
State cannot p	provide this inf	formation (plea	se check box if appropriate).	
ABUSE OUTCOME	Elder adults, ages 60+	Vulnerable adults, ages 18-59	Vulnerable and elder adults (state cannot separate data)	
Risk reduced			,	
Risk the same				
Risk increased				

NEGLECT OUTCOME	Elder adults, ages 60+	Vulnerable adults, ages 18-59	Vulnerable and elder adults (state cannot separate data)		
Risk reduced			- copeniate data,		
Risk the same					
Risk increased					
SELF-NEGLECT OUTCOME	Elder adults, ages 60+	Vulnerable adults, ages 18-59	Vulnerable and elder adults (state cannot separate data)		
Risk reduced					
Risk the same					
Risk increased					
EXPLOITATION OUTCOME	Elder adults, ages 60+	Vulnerable adults, ages 18-59	Vulnerable and elder adults (state cannot separate data)		
Risk reduced					
Risk the same					
Risk increased					
Please provide any comments or explanations you would like on questions from this section. (Specify question number when responding).					
SECTION G: FUNDING AND ADMINISTRATION					
18. For <u>Adult Protective Services only</u> , what was your program's total allocation for FY 2003?					
\$					
State cannot provide this information (please check box if appropriate).					

19. For <u>Adult Protective Services only</u> , please spefunding sources for FY 2003.	ecify allocations from the following
State cannot provide this information (p	please check box if appropriate).
Local funding	\$
State funding	
Social Services Block Grants (Title XX)	\$
Older Americans Act	\$
Private grants/donations	\$ \$ \$ \$
Other Sources	\$
(Please specify the "other sources above)	
20. Do the data you are providing for this survey Services counties/administrative areas in your state	-
Yes No No	
If no, please explain why the information is	is not available.
	11111 4 4 11 0
21. Is there anything that we have missed that you (Feel free to attach additional pages of comm	

Thank you for taking the time to complete this survey!